

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Thomas J. Daley, et al.

Serial No.: 10/767,699

Filing Date: January 29, 2004

Art Unit: 3624

Confirmation No.: 5670

Examiner: Unknown

Title: *SYSTEM AND METHOD FOR CONTROLLING
THE DISCLOSURE OF A TRADING ORDER*

Mail Stop Amendment

Commissioner of Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of the U.S. Patents and U.S. Patent Application Publications listed in the attached PTO-1449 form are not enclosed. Copies of all other references are enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art.

REMARKS

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailling** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.
Attorneys for Applicants



Samir A. Bhavsar
Reg. No. 41,617

Date: May 17, 2007

Correspondence Address:

Customer No. **05073**

PTO-1449		Application No. 10/767,699	Applicant(s) Thomas J. Daley, et al.	
Information Disclosure Citation In an Application		Docket Number 069547.0174	Group Art Unit 3624	Filing Date January 29, 2004

U.S. PATENT DOCUMENTS

BKS\	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A 5,950,177	09/07/1999	Lupien, et al.	705	37	07/15/1997
	B 6,012,046	01/04/2000	Lupien, et al.	705	37	10/16/1997
	C 6,098,051	08/01/2000	Lupien, et al.	705	37	04/26/1996
	D 2003/0097325 A1	05/22/2003	Friesen, et al.	705	37	04/09/1999
	E 2003/0177086 A1	09/18/2003	Gomber, et al.	705	37	12/02/2002
✓	F 2004/0236636 A1	11/25/2004	Lutnick, et al.	705	26	10/02/2003
BKS\	G 2005/0108141 A1	05/19/2005	Farrell, et al.	705	37	11/14/2003

FOREIGN PATENT DOCUMENTS

	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
BKS\	H EP 0 388 162 A2 & A3	03/14/1990	EPO	G06F	15/30		
	I GB 2 389 687 A	12/17/2003	UK	G06F	17/60		
	J GB 2 411 492 A	08/31/2005	UK	G06F	17/60		
	K WO 00/26834 A2 & A3	05/11/2000	PCT	G06F	17/60		
	L WO 01/09757 A2	02/08/2001	PCT	G06F	17/00		
	M WO 01/25996 A1	04/12/2001	PCT	G06F	17/60		
✓	N WO 01/52150 A1	07/19/2001	PCT	G06F	17/60		
BKS\	O WO 2005/083603 A1	09/09/2005	PCT	G06F	17/60		

DOCUMENT (Including Author, Title, Source, and Pertinent Pages)

DATE

BKS\	P Parlour, Christine; <i>Price Dynamics in Limit Order Markets</i> ; Queen's University, Kingston, Ontario, Canada; 111 pages.	11/1995
	Q Weber, Bruce; <i>Screen-Based Trading in Futures Markets: Recent Developments and Research Propositions</i> ; Abstract; ISBN 0 7695 0001 3; 1 page.	1999
✓	R <i>Balance of Trade</i> ; Banking Technology; Vol. 20, No. 9; ISSN 0266-0865; pages 42-44.	11/2004
BKS\	S Patent Pending Application Serial No. 11/499,833 entitled <i>System and Method for Matching Trading Orders Based on Priority</i> by Matthew W. Claus, et al.; Atty Docket No. 069547.0267; 46 total pages.	08/03/2006 filed

EXAMINER

/Bijendra K. Shrestha/

DATE CONSIDERED

12/20/2010

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

U.S. PATENT AND TRADEMARK OFFICE